

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10991054-1

SERIAL NO.

09/483,185

APPLICANT

Francisco Corella

FILING DATE

Jan. 14, 2000

GROUP

Unk.

MAY 15 2001  
PATENT & TRADEMARK OFFICE

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## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | DATE | NAME | CLASS | SUB<br>CLASS |
|---------------------|----|--------------------|------|------|-------|--------------|
|                     | 1A |                    |      |      |       |              |
|                     | 1B |                    |      |      |       |              |
|                     | 1C |                    |      |      |       |              |
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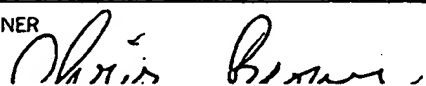
## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | DATE | NAME | CLASS | SUB<br>CLASS | TRANSLATION |    |
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|  |    |                    |      |      |       |              | YES         | NO |
|  | 1L |                    |      |      |       |              |             |    |
|  | 1M |                    |      |      |       |              |             |    |
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|  | 1O |                    |      |      |       |              |             |    |
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## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|    |                                                                                                                                                                                                                                                       |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1Q | M. Boe et al., "TLS-Based Telnet Security," Internet Engineering Task Force, Internet Draft, pp. 1-20, (Updated Version October 24, 2000, Previous Version September 1998). < http://www.normos.org/ietf/draft/draft-ietf-tn3270e-telnet-tls-05.txt > |
| 1R | D. Borman, "Telnet Authentication Option," Network Working Group, Request for Comments: 1416, pp. 1-7, (February 1993). < http://www.csl.sony.co.jp/rfc >                                                                                             |
| 1S | M. Carpenter et al., "Securing FTP with TLS," Internet Engineering Task Force, Internet Draft, pp. 1-23, (January 28, 1998). < http://www.arjgaa.com/ftp/draft/draft-murray-auth-ftp-ssl-03.txt >                                                     |

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|                     | 2A |                    |      |      |       |              |
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|  |    |                    |      |      |       |              | YES         | NO |
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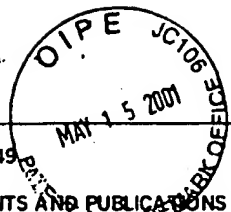
|     |    |                                                                                                                                                                                                                                                                                                                                                 |
|-----|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CJG | 2Q | C. Ellison et al., "SPKI Certificate Theory," Network Working Group, Request for Comments: 2693, pp. 1-43, (Updated Version September 1999, Previous Version November 17, 1998).<br>< <a href="http://www.csl.sony.co.jp/rfc/">http://www.csl.sony.co.jp/rfc/</a> >                                                                             |
|     | 2R | S. Farrell, "TLS Extensions for AttributeCertificate Based Authorization," Transport Layer Security Working Group, Internet Engineering Task Force, Internet Draft, pp. 1-11, (August 20, 1998).<br>< <a href="http://www.altemic.org/draft/draft-ietf-tls-attr-cert-01.txt">http://www.altemic.org/draft/draft-ietf-tls-attr-cert-01.txt</a> > |
|     | 2S | M. Horowitz et al., "FTP Security Extensions," Networking Working Group, Request for Comments: 2228, pp. 1-27, (October 1997). < <a href="http://www.csl.sony.co.jp/rfc/">http://www.csl.sony.co.jp/rfc/</a> >                                                                                                                                  |

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|  |                    |      |      |       |              | YES         | NO |
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|  | 3N                 |      |      |       |              |             |    |
|  | 3O                 |      |      |       |              |             |    |
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OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|  |    |                                                                                                                                                                                                                                                                                                                      |
|--|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  | 3Q | R. Housley et al., "FTP Authentication Using DSA," CAT Working Group, Internet Engineering Task Force, Internet Draft, pp. 1-8, (February 1998).<br>< <a href="http://www.alternic.org/draft/draft/ietf-cat-ftpsaauth-02.txt">http://www.alternic.org/draft/draft/ietf-cat-ftpsaauth-02.txt</a> >                    |
|  | 3R | R. Housley et al., "Telnet Authentication Using DSA," Secure Telnet Working Group, Internet Engineering Task Force, Internet Draft, 7 pages, (July 1998).<br>< <a href="http://www.alternic.org/draft/draft/housley-telnet-auth-dsa-02.txt">http://www.alternic.org/draft/draft/housley-telnet-auth-dsa-02.txt</a> > |
|  | 3S | J. Kohl et al., "The Kerberos Network Authentication Service (V5)," Network Working Group, Request for Comments: 1510, pp. 1-112, (September 1993). < <a href="http://www.csl.sony.co.jp/rfc/">http://www.csl.sony.co.jp/rfc/</a> >                                                                                  |

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## PATENT APPLICATION

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|                     |  | 4J                 |      |      |       |              |
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|  |  |                    |      |      |       |              | YES         | NO |
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|  |  | 4M                 |      |      |       |              |             |    |
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|     |    |                                                                                                                                                                                                                                                                   |
|-----|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
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|     | 4R | M. Myers et al., "X.509 Internet Public Key Infrastructure Online Certificate Status Protocol-OCSP," Network Working Group, Request for Comments: 2560, pp. 1-22, (June 1999).<br>< <a href="http://www.csl.sony.co.jp/rfc/">http://www.csl.sony.co.jp/rfc/</a> > |
|     | 4S | M. Naor et al., "Certificate Revocation and Certificate Update," USENIX Association, Seventh USENIX Security Symposium, pp. 217-228, (January 26-29, 1998).                                                                                                       |

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|  |    |                    |      |      |       |              | YES         | NO |
|  | 5L |                    |      |      |       |              |             |    |
|  | 5M |                    |      |      |       |              |             |    |
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OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

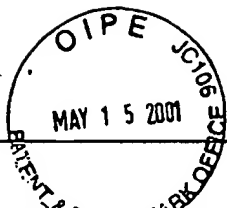
|  |    |                                                                                                                                                                                                                                                                                                                                               |
|--|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|  | 5Q | C. Newman, "Telnet SASL Option," Network Working Group, Internet Engineering Task Force, Internet Draft, 6 pages, (November 1998).<br>< <a href="http://globecom.net/ietf/draft/draft-newman-telnet-sasl-01.html">http://globecom.net/ietf/draft/draft-newman-telnet-sasl-01.html</a> >                                                       |
|  | 5R | E. Rescorla, "HTTP Over TLS," Internet Engineering Task Force, Internet Draft, pp. 1-6, (September 1998). < <a href="http://www.altemic.org/draft/draft-ietf-tls-https-02.txt">http://www.altemic.org/draft/draft-ietf-tls-https-02.txt</a> >                                                                                                 |
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## PATENT APPLICATION

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|                     | 6C                 |      |      |       |              |
|                     | 6D                 |      |      |       |              |
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|  |                    |      |      |       |              | YES         | NO |
|  | 6L                 |      |      |       |              |             |    |
|  | 6M                 |      |      |       |              |             |    |
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## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

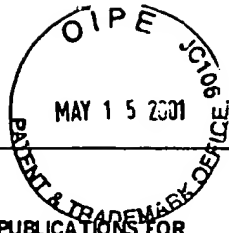
|     |    |                                                                                                                                                                                                                                                                                                                                   |
|-----|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CJB | 6Q | RSA Security Inc., "Security Services Provided by the RSA Keon Desktop v5.1," White Paper, pp. 1-8, (1999).<br>< <a href="http://www.rsasecurity.com/products/keon/whitepapers/desktop/keon_desktop_wp.pdf">http://www.rsasecurity.com/products/keon/whitepapers/desktop/keon_desktop_wp.pdf</a> >                                |
|     | 6R | B. Tung et al., "Public Key Cryptography for Initial Authentication in Kerberos," Internet Engineering Task Force, Internet Draft, 21 pages (Expires May 15, 1999)<br>< <a href="http://www.alternic.org/draft/draft-ietf-cat-kerberos-pk-init-07.txt">http://www.alternic.org/draft/draft-ietf-cat-kerberos-pk-init-07.txt</a> > |
|     | 6S | Web Page of the "Simple Public Key Infrastructure (spki)," Working Group, 2 pages, (Last Modified January 16, 2001), < <a href="http://www.ietf.org/html.charters/spki-charter.html">http://www.ietf.org/html.charters/spki-charter.html</a> >                                                                                    |

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|                                                                                                                                                       | APPLICANT<br><b>Francisco Corella</b> |                                 |
|                                                                                                                                                       | FILING DATE<br><b>Jan. 14, 2000</b>   | GROUP<br><b>Unk.</b>            |

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|  |    |                    |      |      |       |              | YES         | NO |
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|  | 7P |                    |      |      |       |              |             |    |

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|            |    |                                                                                                                                                                                                                                     |
|------------|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>CGP</i> | 7Q | Web Page of the "Transport Layer Security (tls)," Working Group, 2 pages, (Last Modified March 30, 2001), < <a href="http://www.ietf.org/html.charters/tls-charters.html">http://www.ietf.org/html.charters/tls-charters.html</a> > |
|            | 7R |                                                                                                                                                                                                                                     |
|            | 7S |                                                                                                                                                                                                                                     |

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## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|     |    |                                                                                                                                                                                           |
|-----|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CJB | 1Q | International Telecommunication Union (ITU-T) Recommendation X.509, "Information Technology Open Systems Interconnection, The Directory: Authentication Framework," pp. i-81 (June 1997). |
|     | 1R |                                                                                                                                                                                           |
|     | 1S |                                                                                                                                                                                           |

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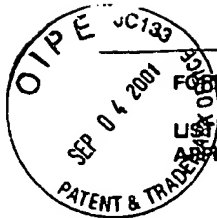
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|                     | 1G                 |      |      |       |              |
|                     | 1H                 |      |      |       |              |
|                     | 1I                 |      |      |       |              |
|                     | 1J                 |      |      |       |              |
|                     | 1K                 |      |      |       |              |

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## FOREIGN PATENT DOCUMENTS

|     |    | DOCUMENT<br>NUMBER | DATE         | NAME               | CLASS | SUB<br>CLASS | TRANSLATION |    |
|-----|----|--------------------|--------------|--------------------|-------|--------------|-------------|----|
|     |    |                    |              |                    |       |              | YES         | NO |
| CGB | 1L | WO 99/35783        | 15 July 1999 | Matthew Hur et al. |       |              |             |    |
|     | 1M |                    |              |                    |       |              |             |    |
|     | 1N |                    |              |                    |       |              |             |    |
|     | 1O |                    |              |                    |       |              |             |    |
|     | 1P |                    |              |                    |       |              |             |    |

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|     |    |                                                                                                                                                                                                                 |
|-----|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CGB | 1Q | R. Rivest, "Can We Eliminate Certificate Revocation Lists?," MIT Laboratory for Computer Science, pp. 178-183, (Feb. 1998). < <a href="http://theory.lcs.mit.edu/rivest">http://theory.lcs.mit.edu/rivest</a> > |
|     | 1R | Menezes, "Handbook of Applied Cryptography," pps. 33, 37-39, 321-322, 559-560, 576-577, (1997).                                                                                                                 |
|     | 1S | A copy of PCT International Search Report for International Application No. PCT/US01/01520 mailed on August 10, 2001(8 pages).                                                                                  |

EXAMINER

Rev 08/01 (PTO1449)

DATE CONSIDERED

8/29/03



PATENT APPLICATION #6

Sheet 1 of 1

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10991054-1

APPLICATION NO.

09/483,185

CONFIRMATION NO.

APPLICANT

Francisco Corella

FILING DATE

Jan. 14, 2000

GROUP

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | NAME   | Pages, Columns, Lines Where<br>Relevant Passages or Figures Appear |
|---------------------|----|--------------------|---------------------|--------|--------------------------------------------------------------------|
| CJB                 | 1A | 4,881,264          | 11/1989             | Merkle |                                                                    |
|                     | 1B |                    |                     |        |                                                                    |
|                     | 1C |                    |                     |        |                                                                    |
|                     | 1D |                    |                     |        |                                                                    |
|                     | 1E |                    |                     |        |                                                                    |
|                     | 1F |                    |                     |        |                                                                    |
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|     |    | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | NAME OF PATENTEE<br>OR APPLICANT | Pages/Columns/Lines Where<br>Relevant Passages/Figures Appear | Check if<br>Translation<br>attached |
|-----|----|--------------------|---------------------|----------------------------------|---------------------------------------------------------------|-------------------------------------|
| CJB | 1L | WO 01/43344        | 14 June 2001        | Burton S. Kaliski Jr             |                                                               |                                     |
|     | 1M |                    |                     |                                  |                                                               |                                     |
|     | 1N |                    |                     |                                  |                                                               |                                     |
|     | 1O |                    |                     |                                  |                                                               |                                     |
|     | 1P |                    |                     |                                  |                                                               |                                     |

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|     |    |                                                                                                                                                                       |
|-----|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| CJB | 1Q | Press, Jim, "Secure Transfer of Identity and Privilege Attributes in an Open Systems Environment," Computers & Security, Vol. 10, No. 2., pps. 117-127, (April 1991). |
|     | 1R | "SET Secure Electronic Transaction Specification," Book 1: Business Description, Version 1.0, XP-002203148, pps. i-72, (May 31, 1997).                                |
|     | 1S | A partial copy of European Search Report for Application No. EP 00 31 0771 mailed on July 12, 2002 (4 pages).                                                         |

EXAMINER

Christopher J. Brown

DATE CONSIDERED

8/29/03

FORM PTO-1449

ATTY. DOCKET NO.

APPLICATION NO.

CONFIRMATION NO.

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APPLICANT

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FILING DATE

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## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | NAME | Pages, Columns, Lines Where<br>Relevant Passages or Figures Appear |
|---------------------|--------------------|---------------------|------|--------------------------------------------------------------------|
|                     | 1A                 |                     |      |                                                                    |
|                     | 1B                 |                     |      |                                                                    |
|                     | 1C                 |                     |      |                                                                    |
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|     | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | NAME OF PATENTEE<br>OR APPLICANT | Pages/Columns/Lines Where<br>Relevant Passages/Figures Appear | Check if<br>Translation<br>attached |
|-----|--------------------|---------------------|----------------------------------|---------------------------------------------------------------|-------------------------------------|
| CJB | 1L                 | WO 99/19845         | 4/1999                           | AT & T Corp.                                                  |                                     |
|     | 1M                 |                     |                                  |                                                               |                                     |
|     | 1N                 |                     |                                  |                                                               |                                     |
|     | 1O                 |                     |                                  |                                                               |                                     |
|     | 1P                 |                     |                                  |                                                               |                                     |

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|  |    |  |
|--|----|--|
|  | 1Q |  |
|  | 1R |  |
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8/17/07